

## R10 InfoPage

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## Q&amp;D - Office of Air, Waste &amp; Toxics - RCRA Program Unit - Records Disposition Schedules

RECORD SERIES DESCRIPTION	DISPOSITION	NARA #
<a href="#">Link to the common</a>	<a href="#">Link to your full printable</a>	
<b>Housekeeping Schedules</b>	<b>OAWT - RPU</b>	
<b>not included in this table</b>	<b>File Plan Spreadsheet</b>	
<b>ADMINISTRATIVE RECORDS - PERMITS:</b> The administrative record is required for issuance of draft and final permits for Prevention of Significant Deterioration (PSD), Resource Conservation and Recovery Act (RCRA), National Pollutant Discharge Elimination System (NPDES), and Underground Injection Control (UIC), when EPA is the permitting authority. The record includes the permit application, draft permit or notice of intent to deny, statement of basis and documentation, the environmental impact statement (NPDES only), comments received during the public comment period, public hearing transcripts and related documentation, and the final permit.  <b>Item a:</b> RCRA land disposal <b>Item b:</b> UIC and UIC exemptions <b>Item c:</b> NPDES minor permits <b>Item d:</b> All other permits  Includes NPDES except minors, pretreatment, ocean dumping, section 404 dredging and fill, PSD, and TSCA PCB disposal.  Function: 204-079 <b>210</b>	<b>Item a: Disposable</b> Close inactive records at issuance of administrative record. Destroy 30 years after file closure.  <b>Item b: Disposable</b> Close inactive records at issuance of administrative record. Destroy 30 years after file closure.  <b>Item c: Disposable</b> Close inactive records at issuance of administrative record. Destroy 10 years after file closure.  <b>Item d: Disposable</b> Close inactive records at issuance of administrative record. Destroy 10 years after file closure.	N1-412-07-36  <b>Status:</b> Final, 06/30/2007  This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.
<b>COMPLIANCE FILES:</b> Contains records used to determine compliance with pollution regulations and to recommend legal enforcement actions if necessary. Includes compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, field notebooks, and related documents. Also includes notices of noncompliance, and compliance orders that do not result in enforcement actions. <b>Item a:</b> Record copy  <b>Function:</b> 108-025-08 <b>211</b>	<b>Item a: Disposable</b> Close inactive records at end of year. Destroy 5 years after file closure.	N1-412-07-1/10  <b>Status:</b> Final, 12/31/2007
<b>CONTRACT MANAGEMENT RECORDS:</b> Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).	<b>Item b: Disposable</b> Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.  Destroy 6 years and 3 months after final payment for the overall contract.  <b>Item c: Disposable</b>	N1-412-06-6/5  <b>Status:</b> Final, 10/31/2008

<p>unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.</p> <p><b>Item b:</b> Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)</p> <p><b>Item c:</b> Other Contracting Officer's Representative (COR) Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)</p> <p>Function: 405 <b>202</b></p>	<p>assignment.</p> <p>Destroy 6 years and 3 months after final payment for the overall contract.</p>	
<p><b>DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS:</b> Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.</p> <p><b>Item a(1):</b> Published or released to the public and related background materials - Nonelectronic</p> <p><b>Item a(2):</b> Published or released to the public and related background materials - Electronic</p> <p><b>Item a(3):</b> Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Unpublished or not released to the public and related background materials</p> <p>Function: 306-112 <b>007</b></p>	<p><b>Item a(1):Permanent</b> Close inactive records upon issuance or publication or when superseded.  Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p><b>Item a(2):Permanent</b> Close inactive records upon issuance or publication or when superseded.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b> Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b:Disposable</b> Close inactive records upon decision to not publish or issue.  Destroy 10 years after file closure.</p>	<p>N1-412-06-7</p> <p><b>Status:</b> Final, 12/31/2010</p>
<p><b>ENFORCEMENT ACTION FILES:</b> Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, field notebooks, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, discovery requests, and notices of intent to sue.</p> <p>Excludes: Superfund site-specific and oil spill site-specific enforcement actions scheduled as EPA 025 and EPA 480, respectively.</p> <p><b>Item a:</b> Administrative case files, whether a formal enforcement action is initiated or not</p> <p><b>Item b:</b> Judicial case files where routine legal actions are required</p>	<p><b>Item a:Disposable</b> Close inactive records upon settlement or closing of case.  Destroy 10 years after file closure.</p> <p><b>Item b:Disposable</b> Close inactive records upon settlement or closing of case.  Destroy 20 years after file closure.</p> <p><b>Item c(1): Permanent</b> Close inactive records upon settlement or closing of case.  Transfer to the National Archives in 5 year blocks 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p><b>Item c(2): Permanent</b> Close inactive records upon settlement or closing of case.</p>	<p>N1-412-07-2/9</p> <p><b>Status:</b> Final, 12/31/2012</p>

<p>Administrator's designee.</p> <p><b>Item c(2):</b> Landmark or precedent cases - Electronic</p> <p>Includes cases as designated by the Regional Administrator's designee.</p> <p><b>Item c(3):</b> Landmark or precedent cases - Electronic copy of records transferred to the National Archives</p> <p>Includes cases as designated by the Regional Administrator's designee.</p> <p><b>Function:</b> 108-025-08 <b>207</b></p>	<p>finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item c(3): Disposable</b></p> <p>Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	
<p><b>FEDERAL FACILITIES MONITORING FILES:</b></p> <p>Contains information used to monitor the environmental controls in use at installations and facilities operated by the federal government, including military installations. Monitoring includes all program areas. Records consist of correspondence with the facilities, survey reports showing inventory of pollution control equipment in use, discharge, and other factors.</p> <p>Excludes: Site-specific records relating to hazardous waste sites at federal facilities submitted under RCRA or CERCLA for preliminary assessments scheduled as EPA 012.</p> <p><b>Item a:</b> Record copy.</p> <p><b>Function:</b> 108-025-08 <b>137</b></p>	<p><b>a: Disposable</b></p> <p>Close inactive records at end of year.</p> <p>Destroy 5 years after file closure.</p>	<p>N1-412-07-1/4</p> <p><b>Status:</b> Final, 05/31/2009</p>
<p><b>FINAL DELIVERABLES AND REPORTS:</b> Consists of final draft and final deliverables, products, and reports submitted by contractors and grantees to the Agency, or produced in-house by individuals, committees, or task forces. Also includes final reports resulting from special studies and surveys completed within the Agency.</p> <p><b>Item a(1):</b> Environmental programs, except Superfund site-specific - Nonelectronic</p> <p><b>Item a(2):</b> Environmental programs, except Superfund site-specific - Electronic</p> <p><b>Item a(3):</b> Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Superfund site-specific</p> <p><b>Item c:</b> Non-environmental programs</p> <p><b>Function:</b> 305-109-01 <b>258</b></p>	<p><b>Item a(1):Permanent</b></p> <p>Close inactive records upon completion of project.</p> <p>Transfer to the National Archives 20 years after file closure.</p> <p><b>Item a(2):Permanent</b></p> <p>Close inactive records upon completion of project.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b></p> <p>Close the record transferred to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b:Disposable</b></p> <p>Close inactive records upon completion of project.</p> <p>Destroy 30 years after file closure.</p> <p><b>Item c:Disposable</b></p> <p>Close inactive records upon completion of project.</p> <p>Destroy 7 years after file closure.</p>	<p>N1-412-06-27</p> <p><b>Status:</b> Final, 2/28/2011</p>
<p><b>GRANTS &amp; OTHER PROGRAM SUPPORT AGREEMENTS:</b> Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit</p>	<p><b>Item a:Disposable</b></p> <p>Close inactive records immediately after closeout of the agreement.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-34</p> <p><b>Status:</b> Final, 7/31/2010</p>

site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.

Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.

Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), and waste water construction and state revolving fund grants (EPA 232).

**Item a:** Record copy

Function: 205 **003**

#### **NATIONAL RCRA INFORMATION SYSTEM**

**(RCRAInfo):** RCRAInfo is one of EPA's mission-critical systems used by EPA regional offices and the states to record and track information provided by the regulated community concerning the generation, shipment, treatment, and disposal of hazardous wastes. Input includes information from facilities on the amounts and kinds of hazardous waste being generated, transported, and stored during the reporting year.

In most cases, the states serve as primary implementers of the program in lieu of EPA regional offices. However, in some states, and for certain aspects of the program, EPA regions retain all, or some, program implementation responsibility. EPA headquarters, regions, and states work in partnership to redefine information needs for the RCRA program under the Waste Information Needs and the Information for Making Environmental Decisions initiative (WIN/Informed).

The system also tracks significant milestones of state and EPA activity supporting program planning, implementation, and reporting of accomplishments. Output also includes data for the National Biennial Report on Hazardous Waste that is prepared under Congressional mandate, as

#### **Item b: Disposable**

Follow instructions for EPA 171.

#### **Item e:Varies**

File with related records and follow instructions for related records.

N1-412-04-08

**Status:** Final,  
10/31/2009

<p>Envirofacts, that are scheduled separately.</p> <p><b>Item b:</b> Input</p> <p><b>Item e:</b> Output and reports - Ad hoc reports</p> <p><b>Function:</b> 108-025-05 <b>257</b></p>		
<p><b>Permit Appeal Files:</b> Contains records used to document the appeal process of permits issued by EPA regional offices. Includes copies of the administrative record, requests for evidentiary hearings, responses and/or petitions for review and responses, reply briefs, hearing transcripts, research, settlement records, orders, motions and final decisions of the Regional Administrator, Administrative Law Judge and/or Environmental Appeals Board.</p> <p><b>Item a:</b> Record copy</p> <p>204-079 <b>236</b></p>	<p><b>Item a: Disposable</b></p> <p>Close inactive records when final decision on appeal is handed down.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-22/3</p> <p><b>Status:</b> Final, 05/31/2007</p>
<p><b>PUBLICATIONS &amp; PROMOTIONAL ITEMS:</b> Files consist of general and technical literature and promotional items along with finding aids and indices used to access collections of publications. General and technical literature includes any manuals, handbooks, brochures, newsletters, or pamphlets developed for use by Agency staff or for distribution to regions, states, other government agencies, the regulated community, and the public. Promotional items include brochures, pamphlets, posters, comic books, buttons, and bumper stickers. Also includes official portraits of senior Agency officials.</p> <p><b>Item a(1):</b> Items depicting EPA's environmental mission activities - Nonelectronic</p> <p><b>Item a(2):</b> Items depicting EPA's environmental mission activities - Electronic</p> <p><b>Item a(3):</b> Items depicting EPA's environmental mission activities - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Routine publications or promotional items</p> <p><b>Item c:</b> Working papers and background materials</p> <p>Function: 305-109-02-04 <b>250</b></p>	<p><b>Item a(1):Permanent</b></p> <p>Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.</p> <p>Transfer to the National Archives 20 years after file closure.</p> <p><b>Item a(2):Permanent</b></p> <p>Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b></p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b:Disposable</b></p> <p>Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.</p> <p>Destroy 5 years after file closure.</p> <p><b>Item c:Disposable</b></p> <p>Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.</p> <p>Destroy 2 years after file closure.</p>	<p>N1-412-06-9</p> <p><b>Status:</b> Final, 4/30/2012</p>
<p><b>RCRA CORRECTIVE ACTION FILES:</b> Contains records documenting corrective action measures as imposed through a RCRA permit. Includes RCRA Facility Assessments (RFA), RCRA Facility Investigations (RFI), Corrective Measures</p>	<p><b>Item a(1):Permanent</b></p> <p>Close inactive records when corrective process is terminated or when remedy is selected and there is no further action.</p>	<p>N1-412-07-54/6</p> <p><b>Status:</b> Final, 04/30/2012</p>



<p>Excludes: Corrective actions that become enforcement actions covered by EPA 207.</p> <p><b>Item a(1):</b> Corrective actions for RCRA land disposals - Nonelectronic</p> <p><b>Item a(2):</b> Corrective actions for RCRA land disposals - Electronic</p> <p><b>Item a(3):</b> Corrective actions for RCRA land disposals - Electronic copy of records transferred to the National Archives</p> <p><b>Function:</b> 108-025-08 206</p>	<p><b>Item a(2):Permanent</b> Close inactive records when corrective process is terminated or when remedy is selected and there is no further action.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b> Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	
<p><b>RCRA GENERATORS, TRANSPORTERS, &amp; TSD FACILITIES FILES:</b> Records relate to generators, transporters, and TSD (treatment, storage and disposal) facilities as required by Subtitle C of the Resource Conservation and Recovery Act (RCRA). Includes notification forms, permit applications and modifications, background and supporting documentation, public notices, drafts and final permits, comments and records of public meetings, fact sheets, exception reports, appeals, import and export notifications, closure and post-closure documents, inspection reports, court orders, manifests, delistings, correspondence, financial assurance documents, records relating to interim status, and other related records. Also includes Regional Off-Site Contact (ROC) records related to facilities approved to receive CERCLA wastes, including phone logs, inspection reports, and related records. reports, and related records.</p> <p><b>Item a(1):</b> RCRA land disposal permits - Nonelectronic</p> <p><b>Item a(2):</b> RCRA land disposal permits - Electronic</p> <p><b>Item a(3):</b> RCRA land disposal permits - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Other permits for generators, transporters, and TSD facilities. Includes facilities that comply with regulations without following the usual permitting process.</p> <p><b>Function:</b> 108-025-05 478</p>	<p><b>Item a(1):Permanent</b> Close inactive records at permit renewal or termination.</p> <p>Transfer to the National Archives 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p><b>Item a(2): Permanent</b> Close inactive records at permit renewal or termination.</p> <p>Transfer to the National Archives 5 years after file closure with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3): Disposable</b> Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b: Disposable</b> Close inactive records at permit renewal or termination.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-6</p> <p><b>Status:</b> Final, 4/30/2011</p>
<p><b>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES:</b> Contains records used to oversee programs operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions.</p> <p><b>Item a:</b> Record copy</p> <p><b>Function:</b> 301-093 203</p>	<p><b>Item a: Disposable</b> Close inactive records at end of year.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-1/9</p> <p><b>Status:</b> Final, 03/30/2007</p>
<p><b>TRAINING MATERIAL:</b> Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development</p>	<p><b>Item a: Disposable</b> Close inactive records after course or material is superseded.</p> <p>Destroy 5 years after file closure.</p> <p><b>Item c(1):Permanent</b></p>	<p>N1-412-06-11</p> <p><b>Status:</b> Final, 04/30/2012</p>

manuals, and other training aids.

Excludes: Records for training administered by the Personnel program scheduled as EPA 571.

**Item a:** Routine training materials. Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency.

**Item c(1):** Mission-related training materials - Nonelectronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.

**Item c(2):** Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.

**Item c(3):** Mission-related training materials - Electronic copy of records transferred to the National Archives. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.

**Function:** 305-109-02-04 **200**

Transfer to the National Archives in 5 year blocks 20 years after file closure.

**Item c(2): Permanent**

Close inactive records after course or material is superseded.

Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

**Item c(3): Disposable**

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

**Unsuccessful Grant Application Files:**

Includes but is not limited to applications, proposals, correspondence, and other records and documentation related to unsuccessful (e.g., rejected, withdrawn, not selected for award under a competition) applications for grants and unsolicited proposals for grants that are not accepted for award. This includes documentation relating to the evaluation of the unsuccessful application or unsolicited proposal for award.

**Item a:** Record copy

**Function:** 205 **274**

**Item a: Disposable**

Close inactive records after rejection or withdrawal.

Destroy 3 years after file closure.

General Records  
Schedule 3/13

**Status:** Final,  
02/14/2007

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